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PTO/SB/05 (2/98)

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
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## UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No.	SP035.C5
First Inventor or Application Identifier	Sanjiv Garg
Title	Superscalar RISC Instruction Scheduling
Express Mail Label No.	

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 202311. ☒ \* Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)2. ☒ Specification [Total Pages 33 ]  
(preferred arrangement set forth below)

- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

3. ☒ Formal Drawing(s) (35 U.S.C. 113) [Total Sheets 9 ]4. ☒ Oath or Declaration [Total Pages 3 ]a. ☐ Newly executed (original or copy)b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
[Note Box 5 below]i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR §§  
1.63(d)(2) and 1.33(b).5. ☒ Incorporation By Reference (useable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

This application is a continuation of Application No. 08/990,414, filed December 15, 1997, which is a continuation of Appl. No. 08/594,401, filed January 31, 1996, which is a continuation of Appl. No. 08/219,425, filed March 29, 1994, which is a continuation of Appl. No. 07/860,719, filed March 31, 1992.

6. ☐ Microfiche Computer Program (Appendix)

7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)

a. ☐ Computer Readable Copyb. ☐ Paper Copy (identical to computer copy)c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))9. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)10. ☐ English Translation Document (if applicable)11. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations12. ☒ Preliminary Amendment13. ☒ Three Return Receipt Postcards (MPEP 503)  
(Should be specifically itemized)14. ☐ \*Small Entity Statement(s) ☐ Statement filed in prior  
(PTO/SB/09-12) application, Status still proper  
and desired15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)16. ☐ Other: 37 C.F.R. § 1.136(a)(3) Authorization☐ Other: our check in the amount of \$760.00

\*NOTE FOR ITEMS 1 &amp; 14: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27). EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☒ Continuation ☐ Divisional ☐ Continuation-in-Part (CIP) of prior application No: 08/990,414, filed December 15, 1997

Prior application information: Examiner: Donaghue, L. Group/Art Unit: 2783

## 18. CORRESPONDENCE ADDRESS

☐ Customer Number  
or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence  
address below

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	Attorneys at Law				
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NAME (Print/Type)	Brian Rosenbloom	Registration No. (Attorney/Agent)	41,276
SIGNATURE		Date	6/10/1999

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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FEE TRANSMITTAL		Complete if Known	
		Application Number	(to be assigned)
Patent fees are subject to annual revision on October 1. These are the fees effective October 1, 1997. Small Entity payments <u>must</u> be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28.		Filing Date	(herewith)
		First Named Inventor	Sanjiv Garg
		Examiner Name	(to be assigned)
		Group / Art Unit	(to be assigned)
TOTAL AMOUNT OF PAYMENT	(\$ 760.00)	Attorney Docket Number	SP035.C5

METHOD OF PAYMENT (check one)	FEE CALCULATION (continued)
1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:  Deposit Account Number: 19-0036 Deposit Account Name: Sterne, Kessler, Goldstein & Fox P.L.L.C.  <input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance	3. ADDITIONAL FEES
2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check No. 24625 <input type="checkbox"/> Money Order <input checked="" type="checkbox"/> Other* *Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.	
FEE CALCULATION	
1. BASIC FILING FEE	
Large Fee Code    Entity Fee (\$)    Small Fee Code    Entity Fee (\$)    Fee Description    Fee Paid	Large Fee Code    Entity Fee (\$)    Small Fee Code    Entity Fee (\$)    Fee Description    Fee Paid
101    760    201    380    Utility filing fee    \$760.00	105    130    205    65    Surcharge - late filing fee or oath
106    310    206    155    Design filing fee    _____	127    50    227    25    Surcharge - late provisional filing fee or cover sheet
107    480    207    240    Plant filing fee    _____	139    130    139    130    Non-English specification
108    760    208    380    Reissue filing fee    _____	147    2,520    147    2,520    For filing a request for reexamination
114    150    214    75    Provisional filing fee    _____	112    920*    112    920*    Requesting publication of SIR prior to Examiner action
SUBTOTAL (1)    (\$) 760.00	113    1,840*    113    1,840*    Requesting publication of SIR after Examiner action
2. EXTRA CLAIM FEES	
Extra    Fee from below    Fee Paid	
Total Claims    1 - 20** =    X    _____ = _____	115    110    215    55    Extension for reply within first month
Indep. Claims    1 - 3** =    X    _____ = _____	116    380    216    190    Extension for reply within second month
Multiple Dependent Claims    _____ = _____	117    870    217    435    Extension for reply within third month
** or number previously paid, if greater; For Reissues, see below	118    1,360    218    680    Extension for reply within fourth month
Large Fee Code    Entity Fee (\$)    Small Fee Code    Entity Fee (\$)    Fee Description	128    1,850    228    925    Extension for reply within fifth month
103    18    203    9    Claims in excess of 20	119    300    219    150    Notice of Appeal
102    78    202    39    Independent claims in excess of 3	120    300    220    150    Filing a brief in support of an appeal
104    260    204    130    Multiple dependant claim	121    260    221    130    Request for oral hearing
108    78    209    39    **Reissue independent claims over original patent	138    1,510    138    1,510    Petition to institute a public use proceeding
110    18    210    9    **Reissue claims in excess of 20 and over original patent	140    110    240    55    Petition to revive - unavoidable
SUBTOTAL (2)    (\$) _____	141    1,210    241    605    Petition to revive - unintentional
	142    1,210    242    605    Utility issue fee (or reissue)
	143    430    243    215    Design issue fee
	144    580    244    290    Plant issue fee
	122    130    122    130    Petitions to the Commissioner
	123    50    123    50    Petitions related to provisional applications
	126    240    126    240    Submission of Information Disclosure Stmt
	581    40    581    40    Recording each patent assignment per property (times number of properties)
	146    760    246    380    Filing a submission after final rejection (37 CFR 1.129(a))
	149    760    249    380    For each additional invention to be examined (37 CFR 1.129(b))
	Other fee (specify) : _____
	Other fee (specify) : _____
	*Reduced by Basic Filing Fee Paid
	SUBTOTAL (3)    (\$) _____

SUBMITTED BY		Complete (if applicable)	
Typed or Printed Name	Brian Rosenbloom	Reg. Number	41,276
Signature		Date	2/10/1999
		Deposit Acct. User ID	

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**STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.**

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June 10, 1999

**WRITER'S DIRECT NUMBER:**  
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Assistant Commissioner for Patents  
Washington, D.C. 20231

**Box Patent Application**

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)  
(Continuation of Appl. No. 08/990,414, filed December 15, 1997)  
Appl. No. (to be assigned) ; Filed: Herewith on June 10, 1999  
For: **Superscalar RISC Instruction Scheduling**  
Inventors: Garg *et al.*  
Our Ref: SP035.C5

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. PTO Utility Patent Application Transmittal Form (PTO/SB/05);
2. U.S. Utility Patent Application entitled:

**Superscalar RISC Instruction Scheduling**

and naming as inventors:

**Sanjiv Garg  
Kevin Ray Iadonato  
Le Trong Nguyen  
Johannes Wang**

Assistant Commissioner for Patents

June 10, 1999

Page 2

the application consisting of:

- a. A specification containing:
    - (i) 29 pages of description prior to the claims;
    - (ii) 3 pages of claims (11 claims);
    - (iii) a one (1) page abstract;
  - b. 9 sheets of formal drawings: (Figures 1-5, 6A, 6B, and 7-10);
  - c. A copy of the original, executed combined Declaration and Power of Attorney, as filed in U.S. Appl. No. 07\860,719, filed March 13, 1992;
3. PTO Fee Transmittal Form PTO/SB/17 (*in duplicate*);
  4. Authorization to Treat a Reply As Incorporating An Extension of Time Under 37 C.F.R. § 1.136(a)(3) (*in duplicate*);
  5. A Preliminary Amendment;
  6. Three (3) return postcards; and
  7. Our check no. 24625 for \$760.00 to cover the filing fee for patent application.

It is respectfully requested that, of the three attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other two prepaid postcards be stamped with the filing date and unofficial application number and returned as soon as possible. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Brian Rosenbloom  
Attorney for Applicants  
Registration No. 41,276

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Jc490 U.S. PTO  
09/329354  
06/10/99

In re application of:

Garg *et al.*

Appl. No.: (To Be Assigned)  
(This is a continuation of  
Appl. No. 08/990,414;  
filed December 15, 1997)

Filed: (Herewith)

For: **Superscalar RISC Instruction  
Scheduling**

Art Unit: (to be assigned)

Examiner: (to be assigned)

Atty Docket: SP035.C5

**Authorization To Treat A Reply As Incorporating An Extension Of Time  
Under 37 C.F.R. § 1.136(a)(3)**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The U.S. Patent and Trademark Office is hereby authorized to treat any concurrent or future reply that requires a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. The U.S. Patent and Trademark Office is hereby authorized to charge all required extension of time fees to our Deposit Account No. 19-0036, if such fees are not otherwise provided for in such reply. A duplicate copy of this authorization is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Brian Rosenbloom  
Attorney for Applicants  
Registration No. 41,276

Date: 6/10/1999

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